

# Sentence

The sentence is an eight-measure theme built out of two four-measure phrases.<sup>1</sup> In this grouping structure, which Ratz indicates as  $(2 \times 2) + 4$ ,<sup>2</sup> the theme expresses three formal functions—presentation, continuation, and cadential.<sup>3</sup> The opening phrase contains the first of these functions and thus is termed a presentation phrase. The second phrase incorporates the remaining two functions. For the sake of simplicity (if not absolute theoretical consistency), this unit is normally termed a continuation phrase.<sup>4</sup>

Before proceeding further, it is necessary to clarify the meaning of “measure” in the definition and description of formal units. All musicians are taught early in their training that a measure is the unit of time defined by the “bar lines” placed throughout a composition. But what a listener perceives as “one full measure” of music does not necessarily correspond to the notated bar lines of the score. We thus need to distinguish between a *real*, experiential measure and a *notated* measure. The former, which may or may not correspond to the latter, is the only valid measure for an analysis of form based on our musical experience.

The distinction between real and notated measures arises when the composer adds or deletes bar lines to facilitate reading the score of movements whose tempo is very slow or very fast. In an adagio movement, for example, we may perceive that a single real measure actually occupies only one half of the notated measure. In such cases, we can use the formula  $R = \frac{1}{2}N$  as a shortcut for indicating the relationship of real (R) to notated (N) measures. Triple-meter scherzo movements, conversely, typically feature real measures that embrace two notated measures, thus  $R = 2N$ . A fast first or last movement may also be notated in this way.<sup>5</sup>

Unfortunately, it is impossible to specify just how much musical content makes up a real measure of music. But the following general guidelines may help us determine whether the notated measures of a given work correspond to our sense of the real measures. First, it helps us to recognize that the notational scheme does not change during the course of a given movement, unless the tempo changes at some point.<sup>6</sup> We must be careful not to make an initial hypothesis about the status of the notated measures based on the work’s opening ideas, only to discover that we must

change our interpretation in light of new material later in the movement. Second, we can be guided by our knowledge of formal conventions in the classical style, as the following examples illustrate.

**EXAMPLE 3.1:** In this Adagio movement, each notated measure seems to hold two real measures, and thus we can recognize the presence of an eight-measure sentence notated in four measures. We might question why this passage could not be analyzed as a simple four-measure antecedent phrase of an eight-measure period, so that  $R = N$ . Further examination of the movement reveals these opening measures to be the complete main theme, with the transition beginning immediately at measure 5. As a general rule, a main theme lasts at least eight real measures. Moreover, few main themes in the repertory are composed of a single antecedent phrase. Thus our original interpretation of an eight-measure sentence ( $R = \frac{1}{2}N$ ) is supported (though by no means fully validated) by the norms of classical form.

**EXAMPLE 3.2:** This famous theme is an eight-measure sentence notated as sixteen measures ( $R = 2N$ ).<sup>7</sup> If we believe that  $R = N$ , then we meet with a basic idea lasting four real measures, which runs counter to our knowledge that the basic idea of most main themes is two real measures in length. Our familiarity with classical norms, combined with our intuitive sense that each notated measure does not contain sufficient material for a real measure of music, helps confirm our interpretation that  $R = 2N$ .

The definitions of formal units presented in this book are given in terms of real measures. Thus the sentence form discussed in this chapter contains eight real measures, whether or not the theme is notated as four, eight, or sixteen measures.<sup>8</sup>

## PRESENTATION PHRASE

The eight-measure sentence begins with a four-measure *presentation phrase*, consisting of a repeated two-measure basic idea in the context of a tonic prolongational progression.<sup>9</sup> The presentation functions to create a solid structural beginning for the theme by establishing its melodic-motivic content in a stable harmonic-tonal environment.

EXAMPLE 3.1 Mozart, Piano Sonata in F, K. 332/300k, ii, 1-4

presentation  
R=1/2N  
Adagio  
b.i. (statement)  
b.i. (response)  
continuation  
fragmentation  
cad.  
HC

Bb: I V<sup>6</sup> IV<sup>6</sup> I<sup>6</sup> II<sup>6</sup> I<sup>6</sup> V<sup>6</sup>/<sub>5</sub> I V(<sup>6</sup>/<sub>4</sub> <sub>3</sub>) HC

EXAMPLE 3.2 Beethoven, Symphony No. 5 in C Minor, Op. 67, i, 6-21

presentation  
R=2N  
Allegro con brio  
b.i. (statement)  
b.i. (response)  
continuation  
frag.  
cad.  
HC

c: I V<sup>6</sup>/<sub>5</sub> I V<sup>6</sup>/<sub>5</sub> I V<sup>6</sup>/<sub>5</sub> I It.<sup>6</sup> V HC

EXAMPLE 3.3 (a) Mozart, Piano Sonata in G, K. 283/189h, i, 1-10; (b) rewritten version of mm. 7-10

presentation  
Allegro  
b.i.  
continuation  
frag.  
cad.  
PAC

G: I V<sub>3/4</sub> I IV I<sup>6</sup> V<sub>3/4</sub> I IV<sup>6</sup> V(<sup>6</sup>/<sub>4</sub> 7) I<sup>8b</sup> PAC

b)

G: I<sup>6</sup> II<sup>6</sup> V(<sup>6</sup>/<sub>4</sub> 7) I<sup>8b</sup> PAC

EXAMPLE 3.4 Beethoven, Piano Sonata in G, Op. 14/2, i, 1-8

presentation  
Allegro  
b.i.  
continuation  
frag.  
PAC

G: I II<sup>4</sup>/<sub>2</sub> V<sup>6</sup> I II<sup>6</sup> V(<sup>6</sup>/<sub>4</sub> 7) I PAC

end of tonic prolongation

The initial statement of the basic idea sets forth the fundamental material of the theme, and the immediate repetition of the idea fully “presents” it as such to the listener. The tonic prolongational progression provides the requisite harmonic stability.

### Basic Idea

Many books on musical form begin by discussing the very smallest units of formal organization, a collection of several notes usually termed a *motive*.<sup>10</sup> (The terms “cell” and “germ” are frequently encountered as well.) The textbooks then show how these motives group into larger units, which in turn combine to form even larger units, and so forth. The impression is that a composition is constructed out of tiny building blocks (often just a single interval formed by two notes), which represent the fundamental units of formal structure for the work.

This view of form has some merits (particularly for late romantic compositions by Brahms, for example), but it does not apply well to classical compositions. Admittedly, a work in this style features the grouping of lower-level units into higher-level ones during the course of its unfolding. But the smallest motives should not be construed as the fundamental building blocks. Rather, the classical work initially groups together several motives into a single gesture, a larger idea lasting two real measures. This *basic idea* is small enough to group with other ideas into phrases and themes but large enough to be broken down (fragmented) in order to develop its constituent motives.<sup>11</sup> Indeed, the opening material of a classical theme typically is integrated into larger formal units as well as disintegrated into smaller motivic elements. The two-measure basic idea is just the right size to act as the starting point for both these processes.<sup>12</sup>

As a general rule, the initial statement of a basic idea emphasizes tonic harmony, usually in root position. In the vast majority of cases, the idea begins directly with the tonic, which often literally prevails throughout the entire idea, as in example 3.2.<sup>13</sup> Subsequent statements of the basic idea may be supported by different harmonies.

The melodic content of a basic idea can often be described as *characteristic*, as opposed to *conventional*. A characteristic melody uniquely defines a theme as an individual, one different from other themes. A conventional melody, on the contrary, is interchangeable from piece to piece. Whereas a characteristic melody normally appears at the very beginning of a thematic unit, a conventional melody is typically used for interior passage-work and cadential closure.<sup>14</sup> A basic idea acquires its characteristic quality by the nature of its constituent melodic and rhythmic motives. A diversity of intervallic content (combinations of leaps, steps, and directional changes) and a variety of durational patterning help bestow individuality on the idea. Conversely, con-

ventional ideas tend to feature consistent stepwise or arpeggiated motion within a series of uniform durational values.

Appropriate to its function as the initiator of a theme, a basic idea often projects the character of a melodic “opening up.” (By contrast, a cadential idea generally results in a melodic “closing down.”) An opening-up quality is created most simply by a distinctly ascending gesture. A sense of melodic opening can also be achieved by immediately sounding (and subsequently embellishing) the third or fifth scale-degrees, thus motivating an eventual descent to the tonic at the cadence. In cases in which the initial basic idea expresses a weak degree of opening up, the immediate repetition of the idea usually occurs at a higher pitch level, thus producing a rising contour at a deeper level of melodic structure.

EXAMPLE 3.3: The two-measure basic idea initially elaborates the fifth scale-degree but then drops down to the tonic and leading-tone, thus creating a closing gesture. The subsequent repetition of the idea significantly expands the melodic space by leaping to the high A, opening up a melodic gap that is filled in stepwise by the continuation phrase. (Example 3.3b is discussed toward the end of the chapter.)

The melodic end of a basic idea is often marked by silence, which sets off the idea from subsequent material (see ex. 3.1). A similar effect is created when the final note of the idea is relatively longer than those that precede and follow it (see ex. 3.2). Determining the exact boundaries of the basic idea can be difficult at times. Articulation signs, especially slurs, sometimes help clarify its limits, but these signs can also be misleading and must be ignored in the face of the analyst’s intuitions about the grouping structure of the idea.<sup>15</sup>

A potentially confusing situation arises when the two-measure basic idea is itself built out of a repeated one-measure idea. Although it might be tempting in such cases to consider the one-measure unit as the real basic idea, such an interpretation usually results in a misleading analysis of the overall theme.

EXAMPLE 3.4: The initial one-measure gesture (“a”) is repeated exactly in the next bar, which might suggest the expression of presentation function. But then the entire two-measure unit is repeated sequentially to create the true four-measure presentation phrase for the complete eight-measure sentence.<sup>16</sup>

### Repetition of the Basic Idea

Most repetitions fall into one of three main categories—exact, statement–response, and sequential. These categories are based on the harmonic context in which the repetition occurs, not on any melodic considerations. An *exact repetition* of an idea retains the same basic harmony of the original version. *Statement–response repetition* brings an ini-

EXAMPLE 3.5 Mozart, Piano Sonata in C, K. 330/300h, i, 1–8

Allegro moderato

presentation b.i. (exact) continuation frag. cad.

C: I ped. (V<sup>7</sup>) I (V<sup>7</sup>) I (IV) I V (6/7) I IAC

EXAMPLE 3.6 Haydn, Piano Sonata in B-flat, Hob. XVI:41, ii, 1–8

Allegro di molto

presentation b.i. continuation frag. cad.

Bb: I (V) I (V) V  $\frac{5}{II}$  V<sup>7</sup> V  $\frac{5}{I}$  II<sup>6</sup> V HC

desc. fifth seq.

EXAMPLE 3.7 Haydn, Piano Sonata in G, Hob. XVI:27, ii, 1–8

Trio

presentation b.i. (statement) (response) continuation frag. cad.

g: I (VII<sup>7</sup>) I V<sup>6</sup> (VI<sup>6</sup>) V<sup>6</sup> I V  $\frac{5}{I}$  It.<sup>6</sup> V HC

EXAMPLE 3.8 Mozart, String Quartet in C ("Dissonance"), K. 465, i, 23–30

Allegro

presentation b.i. continuation beg. of b.i. frag. cad.

C: I (IV  $\frac{4}{4}$ ) V<sup>6</sup>  $\frac{5}{4}$  I<sup>6</sup> (V<sup>6</sup>) I (V<sup>6</sup>) IV<sup>6</sup> V  $\frac{3}{4}$  II<sup>6</sup>  $\frac{5}{4}$  (V  $\frac{5}{4}$ ) V HC

tial *tonic version* of the idea followed by a *dominant version*. *Sequential repetition* involves transposing a complete idea (both melody and harmony) to a different scale-degree. Since a presentation phrase is supported in principle by a tonic prolongational progression, not a sequential one, the category of sequential repetition receives only minimal treatment at this time.<sup>17</sup>

**Exact repetition.** A basic idea is repeated exactly when it is harmonized like its original statement. Although the notion of “exact” applies essentially to the harmonic component, the repetition usually retains the idea’s fundamental melodic shape, although it may become ornamented in some way or another.

EXAMPLE 3.5: The opening two-measure basic idea, firmly set in tonic harmony, is repeated in measures 3–4 with the same harmonic support. The melodic content of this exact repetition is identical except for the slight rhythmic ornamentation at its beginning.

At times, the melody is transposed to a different scale-degree while the harmony remains the same. Such cases are classified as exact repetitions, despite the obvious change to the melodic component.

EXAMPLE 3.6: The basic idea and its repetition are supported entirely by tonic harmony (with neighboring dominants). Because the harmonic context remains the same, we can identify an exact repetition here even though the melody of the repeated version lies a third higher than the original version. Taken together, the two forms of the basic idea create an ascending stepwise melodic progression, a Schenkerian *Anstieg* (see circled notes), that is complemented by a descending progression in the continuation phrase.<sup>18</sup>

**Statement–response repetition.** The *statement* of a basic idea receives a *response* when an original version supported primarily by tonic harmony is answered by a repeated version supported by dominant harmony. A variety of harmonic patterns can create tonic and dominant versions of an idea. The simplest case arises when the statement is built entirely out of tonic and the response is built out of dominant (see ex. 3.2).<sup>19</sup> A richer harmonization results if each of these fundamental harmonies is prolonged by neighboring or passing chords.

EXAMPLE 3.7: The basic idea is initially supported by tonic harmony with a neighboring dominant. The repetition takes the form of a response, whose basic dominant support is slightly embellished by a neighboring VI<sup>6</sup> chord on the third beat of measure 3.

One important type of statement–response repetition involves the motion away from tonic to dominant (I–V) in the statement and a return from the dominant to the tonic

(V–I) in the response (see ex. 3.3a, mm. 1–4).<sup>20</sup> In such cases, the *initial* harmony of the idea is responsible for expressing the sense of the tonic and dominant versions. In a variation on this pattern, a pre-dominant harmony of some kind (II<sup>6</sup>, IV, V/V) precedes the dominant that appears at the beginning of the response.

EXAMPLE 3.8: The presentation phrase features a statement–response repetition of the basic idea. But rather than having the tonic move directly to the dominant to signal the response, Mozart inserts an embellishing pre-dominant (IV<sup>6</sup>) in the second half of the statement (m. 2).<sup>21</sup>

A statement–response repetition also is created when the repeated idea is supported exclusively by subdominant harmony.<sup>22</sup> A more complicated version of a subdominant response appears in example 3.1. The initial chords of each idea are tonic and subdominant, respectively, and these harmonies are further embellished by their own dominants in first inversion (the I<sup>6</sup> on the second half of m. 2 being a “dominant” of IV). The overall progression, however, remains tonic prolongational (I–I<sup>6</sup>).

Most statement–response repetitions involve transposing the melody to a different scale-degree in order to accommodate the change in harmonization. As seen in the examples just discussed, the transposition is usually stepwise,<sup>23</sup> except when the melody in both versions circles about the fifth scale-degree, a tone common to I and V (as in ex. 3.7)

**Sequential repetition.** A basic idea is repeated sequentially if its entire melodic–harmonic content is transposed to a different scale-degree. In sequential repetition, both the melody and its harmonic support are transposed by the same interval, such as in example 3.4 in which the idea ascends by a step.<sup>24</sup> A single sequential repetition, as in a presentation phrase, does not necessarily produce a sequential harmonic progression. For instance, the move from I to II<sup>4</sup> in example 3.4 takes place in a broader tonic prolongation, as will be discussed shortly.

Sequential repetition and statement–response repetition can easily be mistaken for each other if only the melodic line is considered. As we have already seen, the melody of a response is usually transposed stepwise, thus superficially resembling a sequential repetition of the kind found in example 3.4. But the harmony of the response is transposed up a fifth. A genuine sequential repetition transposes both harmony and melody by the same interval. The concept of “melodic sequence,” frequently cited in elementary texts, has no form-functional import.

### Tonic Prolongation

According to my definition, a presentation phrase prolongs tonic harmony. The prolongation is often contained in the

EXAMPLE 3.9 (a) Mozart, Symphony No. 40 in G Minor, K. 550, iii, 1–14; (b) rewritten version of mm. 1–6

Allegretto

Main Theme presentation

b.i. (expanded)

Transition/Subordinate Theme continuation

frag.

g: I (V  $\frac{4}{2}$ ) I<sup>6</sup> I (V<sup>7</sup>  $\frac{6}{5}$ ) I d: {VI  $\frac{6}{5}$  VII (V)} V $\frac{6}{5}$  I II<sup>6</sup> V<sup>7</sup>

cad.

VI IV<sup>6</sup> V $\frac{6}{5}$  IV VII<sup>7</sup> I V<sup>7</sup> V<sup>7</sup> VI II<sup>6</sup> V<sup>7</sup> I PAC

descending third sequence

b.i.

g: 1 ...

EXAMPLE 3.10 Mozart, Violin Sonata in A, K. 402/385e, i, 1–8

Andante, ma un poco adagio

presentation

b.i.

continuation (no frag.)

cad.

A: I 8<sup>th</sup> V<sup>7</sup> I (V<sup>7</sup> ped.) IV — I VI II<sup>6</sup> V<sup>7</sup> I PAC

boundaries of the phrase (see exs. 3.1 and 3.5). Frequently, though, a response version of the basic idea ends with dominant harmony, and thus the progression is not actually completed until the arrival of the tonic at the beginning of the continuation phrase (as in exs. 3.2 and 3.7). In exceptional cases, the tonic prolongation concludes after the continuation phrase has already begun. In example 3.4, the prolongation ends on the downbeat of measure 6.

### Deviations from the Norm

Presentation phrases in a tight-knit sentence rarely depart from the norms just described.<sup>25</sup> The few deviations that do occur usually result from *expanding* the component basic ideas beyond their normative two-measure size.<sup>26</sup>

EXAMPLE 3.9: The basic idea is internally enlarged to three measures by augmenting the durational values of the second and third notes of the melody. The repetition of the basic idea thus results in a six-measure presentation.<sup>27</sup> Example 3.9b reconstructs a normative version of the basic idea showing how its essential motivic

content could have been easily accommodated to the normal two-measure length.<sup>28</sup>

### CONTINUATION PHRASE

The second phrase of the sentence combines the formal functions of continuation and cadential. *Continuation* function destabilizes the prevailing phrase-structural, rhythmic, and harmonic context (as defined by the presentation) and features a breaking down of the structural units (fragmentation), an increase in rhythmic activity (acceleration of harmonic change and shorter surface durations), and a weakening of harmonic functionality (sequential progression). *Cadential* function brings closure to the theme and is characterized by tonal confirmation (cadential progression) and the conversion of characteristic motives into conventional ones (liquidation).

Following the lead of Schoenberg, the second four-measure unit of the sentence form is termed a *continuation phrase*.<sup>29</sup> Needless to say, this choice of terminology is prob-

lematical because it fails to specify any cadential function in the phrase. But for the sake of simplicity, a single-word expression (analogous to presentation, antecedent, and consequent) seems preferable. Labeling the phrase according to only one of its constituent functions is motivated by the fact that the continuation function is usually more salient throughout the entire phrase than is the cadential function, which does not normally appear until later in the phrase.<sup>30</sup>

### Continuation Function

The presentation of a sentence establishes the fundamental content of the theme in a relatively stable phrase-structural and harmonic context: the units of structure are clearly defined as two measures in length, and the tonic prolongational progression creates harmonic solidity. In the presentation, moreover, the effect of repetition combined with the absence of any cadential closure sets up strong expectations for ensuing material that will bring something new, something that will permit the theme to acquire momentum and drive. It is precisely the function of the continuation to destabilize the formal context established by the presentation and to give the theme greater mobility.

Continuation function is characterized by the following four compositional devices: (1) phrase-structural fragmentation, (2) acceleration in the rate of harmonic change, (3) increase in surface rhythmic activity, and (4) sequential harmonies. Although often closely related to one another in a given continuation, these are distinct and independent processes. Moreover, none of them is a necessary condition of the function.

**Fragmentation.** The most common characteristic of continuation function is the immediate breaking down of the two-measure unit size (established in the presentation) into smaller segments. This process of shortening the units is termed *fragmentation*.<sup>31</sup> The smaller segments are *fragmented units* or, more simply, *fragments*.

Just as the presentation uses repetition to define unequivocally the size of the constituent units, so, too, is the shortening of the units usually confirmed by a repetition of the fragments. Consequently, a continuation phrase most often begins with a one-measure idea, which is immediately repeated in the following measure (as in ex. 3.5; see also exs. 3.1, 3.2, and 3.7).

Sometimes fragmentation does not occur until after the continuation phrase has already begun (see ex. 3.4). Often in such cases, the continuation starts as though it were going to restate the entire basic idea for a third time, but before reaching its conclusion, the idea leads into new material that effects the fragmentation (see ex. 3.8).

The process of fragmentation exclusively concerns the *length* of the musical units, regardless of how the melodic content of the fragments relates to the preceding mater-

ial. To be sure, there are many cases in which the fragmented units contain motives derived from the basic idea (see ex. 3.8; see also exs. 3.2, 3.7, and 3.9), but it is just as possible for the melodic material to change significantly at the beginning of the continuation phrase (see ex. 3.1; see also ex. 3.5).

Structural fragmentation has significant consequences for the higher-level rhythm of a theme. The systematic shortening of the constituent units results in a marked rhythmic acceleration. The greater activity thus achieved is important for creating the impression of mobility essential to continuation function.

**Acceleration of harmonic rhythm.** Another important component of a theme's large-scale rhythm is the rate of change of its supporting harmonies. The continuation function typically features *harmonic acceleration* in relation to the presentation.

An analysis of harmonic rhythm can sometimes prove difficult, owing to the hierarchical nature of harmony. Since each level of harmonic succession in a theme has its own durational patterning, there can often be more than one description of the theme's harmonic rhythm. The problem is one of determining exactly which chords belong to a given level, but once they are identified, it is simple to describe the harmonic rhythm.

As a general rule, the level of harmonic activity most important to projecting the continuation function is the level most directly associated with the basic idea, its repetition, and its fragmented units. We can refer to this as the "level of the *idea unit*." In the simplest cases, such as example 1.1 (shown on p. 10), a single harmony supports each idea unit (i.e., one chord per basic idea and fragment), and thus it is easy to demonstrate harmonic acceleration on this level of formal organization.

When an idea unit is harmonized by several chords, it is more difficult to decide whether every one of these chords belongs to the level of the idea unit—that is, whether they all participate in the primary harmonic rhythm of the theme. Sometimes, individual chords are merely ornamental and thus play no role in creating a sense of harmonic change. At other times, the subordinate chords in an idea unit have sufficient importance to be included in the analysis of the harmonic rhythm.

**EXAMPLE 3.10:** The new melodic-motivic material at the beginning of the continuation phrase is organized into a two-measure unit (mm. 5–6), thus maintaining the unit size already given by the presentation. To compensate for the absence of fragmentation, Mozart accelerates the harmonic rhythm in these measures. To be sure, the IV chord introduced on the third beat of measure 5 (and preceded by its own dominant) is a neighboring chord in a root-position tonic prolongation. Nevertheless, compared with the lack of any ornamental chords at the level of the idea unit in the presentation, this embellishing of the tonic in the continuation creates a

## EXAMPLE 3.II Mozart, Piano Sonata in D, K. 311/284c, iii, 1–8

sense of greater harmonic activity. Simply to ignore the subdominant harmony of measures 5–6 in an analysis of the harmonic rhythm is to miss an important way in which the composer expresses the continuation function despite the lack of fragmentation.

**Increase in surface rhythmic activity.** The two principal characteristics (fragmentation and harmonic acceleration) of continuation function involve rhythmic activity at a relatively high structural level in a theme. But rhythmic acceleration can also be projected by events lying at the very surface of the musical texture. The durational patterns formed by the attack points of every note in a passage create varying rates of activity. In comparison to the presentation, the continuation function frequently features shorter note values, hence an increased animation in the surface rhythm. Increasing surface rhythmic activity is particularly effective in the absence of harmonic acceleration.

EXAMPLE 3.II: The root-position tonic from the end of the presentation (m. 4) is maintained throughout the first two measures of the continuation, thus slowing down the harmonic rhythm. To counterbalance this deceleration, Mozart introduces a flurry of sixteenth notes, which increases toward the approach to the half cadence.<sup>32</sup>

**Harmonic sequence.** In most of the preceding examples, the continuation function is initially supported by a tonic prolongational progression. If the tonic remains in root position throughout the prolongation, then the harmonic stability established in the presentation is maintained in the continuation, as in example 3.10 (see also exs. 3.2, 3.5, and 3.7). But if the tonic is allowed to change from root position to first inversion, then the harmonic texture of the continuation is made less weighty and more mobile (see ex. 1.1).

Sequential progressions create even greater harmonic mobility within a continuation. Their inherent instability make them especially suited for continuation function, one of whose primary goals is to destabilize the harmonic context established by the presentation.

EXAMPLE 3.6: The presentation features a standard tonic prolongation created by neighboring dominant chords. On the downbeat of measure 5, the two notes in the upper voices (D and F) represent the expected tonic, which would complete the prolongation. The

missing root of the tonic harmony (B $\flat$ ) does not actually sound in the bass part, as it did analogously after the downbeats in measures 1 and 3. Instead, the lower line of measure 5 expresses a V $\frac{7}{II}$ , which initiates a short descending fifth sequential progression, one that continues in the following measure. The subsequent half-cadential progression in measures 7–8 brings the theme to a close.<sup>33</sup>

To be sure, the sequential progression of the preceding example hardly represents a radical overthrow of the prevailing tonic. Indeed, the descending fifth pattern is the most harmonically functional of all the sequential progressions, and here it leads quickly back to the tonic. It is entirely appropriate in this case that the use of sequential harmonies does not overly threaten the tonic's stability. After all, this sentence serves as a sonata-form main theme, which, in principle, should retain a strong, tight-knit organization. For this reason, main themes do not normally exhibit significant sequential activity.

In fact, the use of sequence is rare in sentences that conform to the eight-measure model, no matter where they may occur within a movement. Because of the restricted time span between the end of the presentation's tonic prolongation and the beginning of the requisite cadential progression at the close of the theme, there is little room for including enough harmonies to make palpable the sense of sequence. For this reason, sequential progressions occur most often in a continuation when that function is extended beyond its conventional four-measure limits, as in example 3.9, which is discussed later in this chapter in connection with deviations from the norm.

### Cadential Function

Music in the classical style is often characterized as highly goal directed, and many of the principal goals in a composition are the cadences marking the ends of themes and theme-like units. Identifying the cadences is thus a critical objective of any formal analysis. Unfortunately, traditional ideas of cadence are riddled with misconceptions that stand in the way of a truer understanding of this important compositional phenomenon.<sup>34</sup> The following discussion attempts to clear the air of some erroneous notions and to begin laying the foundations for a more complete and accurate con-



cept of cadence than that found in most theories of musical form. Additional issues of cadence will be raised in later chapters as they pertain to formal situations other than the sentence.

**Fundamental concepts of cadence.** To begin, let us differentiate three usages of the term *cadence* (and its adjectival form, *cadential*). The first refers to the *cadential arrival*, the specific moment in time that marks the structural end of a thematic region. More simply, this is “the cadence,” the point at which a symbol such as PAC (perfect authentic cadence) would be placed in the analysis.

The second usage refers to the time span leading up to this point of arrival, that is, the idea or phrase in the theme that communicates to the listener that “the cadence” is forthcoming. This passage of music can be said to have a *cadential function* because it creates the requisite conditions for thematic closure by means of specific harmonic, melodic, and phrase-structural devices.

The third sense of cadence refers to the particular type of harmonic progression used to confirm a tonality. This *cadential progression* (which was extensively treated in the previous chapter) is most often associated with cadential function. But it can also provide harmonic support for other formal functions, especially codettas.

With these distinctions in mind, we can now define the concept of cadential function in greater detail. As a general rule, the boundaries of the function are limited by its underlying cadential progression. Thus, the initial harmony of the progression marks the beginning of cadential material (be it a short idea or a full phrase), and the onset of the final harmony articulates the point of cadential arrival.

Whereas the presence of a cadential progression is a necessary condition for cadential function, it is not a sufficient one. The general formal context in which the passage is located plays a significant role as well. A cadence essentially represents the structural *end* of broader harmonic, melodic, and phrase-structural processes. Thus cadential function implies the presence of prior material—for example, presentational or continuational—on which the cadential function follows in order to effect thematic closure. We must be careful not to identify a passage as cadential unless we can demonstrate that it logically ensues from previous *initiating* or *medial* functions.<sup>35</sup>

In addition to its requisite harmonic component, a cadential function often contains a distinctive melodic profile, a highly conventionalized formula that occurs frequently in works in the classical style. This cadential melody normally has a falling contour, which conveys the sense of “closing down” a melodic process. The cadential idea thus contrasts with the basic idea at the beginning of the theme, which, as pointed out, features a characteristic melody, one that “opens up” the melodic line.<sup>36</sup>

Put somewhat differently, cadential material often arises

when the composer systematically eliminates characteristic melodic and rhythmic motives introduced in the basic idea, a technique termed motivic *liquidation*. Strictly speaking, any elimination of a characteristic motive represents liquidation, and thus in cases in which the continuation phrase begins with material that contrasts with the presentation, complete liquidation takes place immediately. But liquidation is more palpable as a process when the elimination is gradual, reaching its completion in the cadential function.<sup>37</sup>

**Classification of cadences.** Cadences are classified into two main types based on the final harmony of the underlying cadential progression. If the goal of the progression is tonic, an *authentic cadence* is created; if the harmonic goal is dominant, a *half cadence* (HC) is created.

Authentic cadences are further subdivided according to the extent of melodic closure achieved at the cadential arrival.<sup>38</sup> In a *perfect authentic cadence* (PAC), the melody reaches the tonic scale-degree in conjunction with the onset of the final tonic harmony. In an *imperfect authentic cadence* (IAC), the melody is left open on the third scale-degree (or, very rarely, the fifth degree). The half cadence is not subject to further subdivision based on any such melodic criterion.

These three cadences—perfect authentic, imperfect authentic, and half—are the only genuine cadences in music in the classical style. I must offer additional cadential labels, however, to cover situations in which an expected authentic cadence fails to materialize. For example, if the final tonic of the cadential progression is replaced by a different harmony (or occasionally by a tonic in first inversion), we recognize that a *deceptive cadence* has appeared in lieu of the authentic cadence.<sup>39</sup> Following the deceptive cadence, the composer normally repeats the material leading up to the unrealized cadence and closes it with the authentic cadence originally promised.

EXAMPLE 3.12: The theme heads toward closure with an authentic cadence at the downbeat of measure 8, but, instead, the dominant scale-degree in the bass is chromatically raised, and the subsequent resolution to VI in the second half of the measure creates a deceptive cadence. Haydn then repeats the entire continuation phrase, finally allowing it to reach a true authentic-cadential closure in measure 12.<sup>40</sup>

So far, I have not mentioned any cadence featuring the progression from subdominant to tonic, the “plagal cadence” described by virtually every theory text. An examination of the classical repertory reveals that such a cadence rarely exists—if it indeed can be said to exist at all.<sup>41</sup> Inasmuch as the progression IV–I cannot confirm a tonality (it lacks any leading-tone resolution), it cannot articulate formal closure in the sense developed in this book. Rather, this progression is normally part of a tonic prolongation serving a variety of formal functions—not, however, a cadential

EXAMPLE 3.12 Haydn, Piano Trio in C, Hob. XV:27, i, 1-12

Allegro

presentation

b.i.

ten.

ten.

ten.

continuation frag.

C: I — (V<sup>6</sup><sub>5</sub>) II — V<sup>7</sup> — I — (V<sup>6</sup><sub>5</sub>) I — (V<sup>6</sup><sub>5</sub>) I

continuation (repeated)

cad.

deceptive cadence

(V<sup>6</sup><sub>5</sub>) I — (VII<sup>7</sup>) VI — II<sup>6</sup> — V(<sup>6</sup><sub>4</sub> 7) — (VII<sup>7</sup>) VI — (V<sup>6</sup><sub>5</sub>) I... — II<sup>6</sup> — V(<sup>6</sup><sub>4</sub> 7) — I

PAC

EXAMPLE 3.13 Beethoven, Piano Sonata in C, Op. 2/3, i, 1-13

Allegro con brio

presentation

b.i.

continuation frag.

cad.

(lead-in)

C: I — V — 7 — I — V<sup>4</sup><sub>3</sub> — 7 — I — V<sup>4</sup><sub>3</sub> — 7 — I<sup>6</sup> — II<sup>6</sup><sub>5</sub> — V — I

continuation (repeated)

I — V<sup>6</sup><sub>5</sub> — I — V<sup>6</sup><sub>5</sub> — I — VII<sup>7</sup> — V(<sup>6</sup><sub>4</sub> 7) — I

PAC

IAC

one. Most examples of plagal cadences given in textbooks actually represent a postcadential codetta function: that is, the IV–I progression follows an authentic cadence but does not in itself create genuine cadential closure.<sup>42</sup>

**Cadence in the sentence form.** As defined here, cadential function begins with the onset of the cadential progression, which, in the case of the sentence form, usually occurs around the middle of the continuation phrase, either at the downbeat of measure 7 or at the preceding upbeat. If the ultimate dominant of a half-cadential progression is preceded by a single chord (thus resulting in an incomplete progression), the cadential function may begin as late as the upbeat to measure 8 (see ex. 3.1, m. 4, beats 2 and 3, where  $R = \frac{1}{2}N$ ; see also ahead ex. 5.9, mm. 7–8).

Sometimes the cadential progression supports a distinctly new melodic idea of marked cadential character, a melody that is clearly different from the preceding material associated with an exclusive continuation function, as in examples 3.6 and 3.12 (see also exs. 3.5 and 3.7, in which the cadential idea derives from the basic idea). Frequently, though, the cadential idea grows directly out of the melodic-motivic content of the continuation, as in examples 3.2 and 3.11.

Any one of the three main cadence types may be used to close a sentence. The form frequently ends with a half cadence, even though that cadence does not create full closure of the melodic-harmonic processes that arise in the theme.<sup>43</sup> If a sentence ends with an imperfect authentic cadence, the continuation phrase, or a portion thereof, is often repeated in order to provide greater melodic closure by means of a perfect authentic cadence.

**EXAMPLE 3.13:** The initial sentence closes with an imperfect authentic cadence at measure 8. The weaker cadence motivates a repetition of the continuation phrase, which, after a degree of cadential expansion, closes with a perfect authentic cadence on the downbeat of measure 13. Rhythmic continuity between the two continuation phrases is achieved by means of the triplet *lead-in* at measure 8.<sup>44</sup>

Now that the concept of cadence has been somewhat clarified, it is possible to confront an issue pertaining to the presentation phrase of a sentence that could not be adequately raised in the earlier discussion of that function. Since many traditional theories teach that every “phrase” must end with a cadence, we may be tempted to identify cadential closure at the end of some presentation phrases. This analytical mistake can be circumvented when we understand more clearly why a presentation, in principle, never closes with a cadence.

The absence of a supporting cadential progression in most presentation phrases automatically prohibits us from identifying cadential closure in those cases. Occasionally,

however, a presentation contains a prolongation that ends with a root-position dominant resolving to a root-position tonic, as in example 3.13, measures 3–4. Here, the possibility of a cadence is at least suggested. But Beethoven leaves the melodic line open at the end of the phrase, thus helping to counteract the cadential implications given by the harmony.

But there is no cadence at the end of this phrase, or any other presentation, for a more fundamental reason. Inasmuch as the basic idea itself functions to *begin* a theme, a repetition of that idea must also express a similar function of beginning. Indeed, repeating an opening idea actually reinforces the sense of formal initiation. Conversely, to effect thematic closure, a basic idea must be followed by different material, a “contrasting idea,” that has the appropriate harmonic content to express cadential function.

An analogy to natural language may help clarify the difference between a basic idea and a cadence in music. A grammatically complete sentence (in language) must normally contain a subject followed by a predicate. Similarly, a basic idea is a kind of “subject” for a musical sentence; hence, a presentation phrase is analogous to a compound subject. For example, the subject phrase “the man and his dog” does not form a complete sentence but, rather, sets up expectations for an ensuing predicate, such as “ran together across the street.” Similarly, a presentation phrase by itself does not bring about thematic closure but, instead, sets up strong expectations for further material that will ultimately close the theme. Thus, to continue the analogy, the “predicate” of a musical sentence is fulfilled by the continuation and cadential functions that follow the presentation.

### Additional Features

**Continuation  $\Rightarrow$  cadential.** As defined at the opening of this chapter, the second half of the eight-measure sentence combines continuation and cadential functions into one four-measure phrase. The presence of two different functions in a single group can more technically be termed form-functional *fusion*. Fusion poses a problem of terminology because formal units are preferably labeled according to their primary functional expression. The decision to call the second half of a sentence a *continuation phrase* reflects the fact that in the majority of cases, continuation function is more prominently displayed than cadential function is. Not only does the phrase begin with continuation function, but also the processes of fragmentation, harmonic acceleration, and increased surface rhythm often carry on into the cadential material.

In some cases, however, the cadential component vies for equal expression with the continuation function, or even surpasses it. Cadential function acquires this greater status when the phrase begins directly with the cadential progression, which is then expanded to support the entire phrase.

EXAMPLE 3.14 Haydn, String Quartet in D Minor, Op. 42, i, 1-8

Andante ed Innocentemente

presentation b.i.

continuation ⇒ cadential frag.

*sfz* *f* *p* *sfz* *f* *p*

d: I V<sup>7</sup> I<sup>6</sup> E.C.P. II<sup>6</sup> V(<sup>6</sup><sub>4</sub>) I PAC

EXAMPLE 3.15 Mozart, String Quartet in A, K. 464, ii, 1-8

Menuetto

presentation b.i.

continuation ⇒ cadential new idea

*f* *p* *f* *p* *p*

A: [ I V I ] I<sup>6</sup> E.C.P. II<sup>6</sup> V<sup>7</sup> I IAC (PAC?)

EXAMPLE 3.16 (a) Beethoven, Piano Trio in G, Op. 1/2, ii, 1-9; (b) rewritten version of mm. 7-9

Largo con espressione

a) presentation b.i.

continuation frag.

*p*

E: I V<sup>6</sup>(I) V  $\frac{4}{2}$  I<sup>6</sup>(VII<sup>6</sup>) I V<sup>4</sup><sub>2</sub> II<sup>6</sup> V<sup>4</sup><sub>2</sub> I<sup>6</sup>

desc. fifth seq.

cad.

b)

E: V<sup>6</sup> I II<sup>6</sup> V(<sup>6</sup><sub>4</sub> 7) I PAC

In more loosely organized phrase-structural contexts (such as a subordinate theme), a phrase built on such an *expanded cadential progression* (E.C.P.) usually has an exclusive cadential function. This *cadential phrase* would normally follow a continuation phrase devoted entirely to that function. The two functions would thus receive individual phrases of their own.<sup>45</sup>

In an eight-measure sentence, a phrase supported by an expanded cadential progression normally features both continuation and cadential functions, just like a standard continuation phrase. Once again, though, the form-functional fusion in the phrase poses a problem of terminology. To call the unit a *continuation phrase* fails to give sufficient weight to its underlying cadential progression. But to call it a *cadential phrase* slights the obvious continuational features so characteristic of the sentence form.

Thus for this particular case, it seems reasonable (albeit somewhat cumbersome) to indicate both functions by labeling the phrase in the following way: *continuation*  $\Rightarrow$  *cadential*. The symbol  $\Rightarrow$  stands for “becomes” and denotes a retrospective reinterpretation of formal function.<sup>46</sup> In other words, what we expect to be a continuation phrase (following, as it does, a presentation) is understood retrospectively to be a cadential phrase based on an expanded cadential progression, a phrase that nevertheless contains continuational characteristics.

**EXAMPLE 3.14:** The theme begins with a regular four-measure presentation featuring a statement–response repetition of the basic idea. We now expect a continuation phrase that will likely fragment the unit size and increase the rate of harmonic change. These continuational traits are clearly manifest in measures 5 and 6 of the theme. Indeed, fragmentation carries on into measure 7 as well. The motion from I<sup>6</sup> to II<sup>6</sup> in measures 5 and 6 suggests the presence of a cadential progression. But since this interpretation is not fully confirmed until the arrival of the root-position dominant in measure 7, it is only then that we can understand retrospectively that the cadential function was actually initiated at the very start of the phrase.<sup>47</sup>

**EXAMPLE 3.15:** The continuation function is not nearly so well expressed in this *continuation*  $\Rightarrow$  *cadential* phrase, owing to the lack of fragmentation. Instead of reducing the size of the units, measures 5–6 bring a new two-measure idea, which is repeated in measures 7–8. A sense of continuation function is nonetheless projected by the slight increase in harmonic and surface-rhythm activity.<sup>48</sup>

**Modulating sentence.** All the themes referred to thus far (with the exception of ex. 3.9) close in the key in which they begin. Occasionally, though, the continuation phrase modulates to a new, closely related key. Most often the new key is the dominant region of the opening key, although the mediant (“relative major”) is frequently used if the opening key is minor. In all modulating sentences, the final cadence

is authentic, for a half cadence is too weak to confirm a new tonality, especially one that lacks its own tonic prolongation associated with the presentation function.

A modulating sentence rarely stands alone as an independent formal unit. Rather, it tends to link up with other units to form a larger-scale theme, one that ultimately returns to the original key and closes there with a perfect authentic cadence. Modulating sentences thus are found most often in the first part of small ternary or small binary forms (see ahead ex. 7.3).<sup>49</sup>

### Deviations from the Norm

The continuation phrase of the sentence frequently deviates from its four-measure norm, and almost always so if the presentation deviates as well. Indeed, the continuation is likely to be altered more often than the presentation is, whose four-measure length sets the standard against which subsequent phrase irregularities can make their effect.<sup>50</sup> The following examples are typical of the ways in which a continuation phrase departs from the norm.

**Extension of continuation function.** Additional units of fragmentation and a thorough sequential progression are typical means of extending continuation function.<sup>51</sup>

**EXAMPLE 3.9:** The expanded presentation (discussed earlier) motivates an even more extended continuation. Mozart first states the basic idea a third time (mm. 7–9). Ordinarily, such an additional repetition would be a part of an extended presentation, but since the supporting harmony no longer prolongs the initial tonic (introducing instead a modulation to the dominant region), the repeated idea is better seen as belonging to the continuation. The upbeat to measure 10 brings fragmentation of the second motive of the basic idea in a descending third sequence, which further extends the function. The theme closes with a conventional perfect authentic cadence to confirm the new key.<sup>52</sup>

### Expansion of cadential function.

**EXAMPLE 3.16:** The extra measure of this nine-measure theme is created by a small expansion of the cadential progression. (Schoenberg speaks of similar situations as a “written-out ritardando.”)<sup>53</sup> A reconstructed normative ending to this theme is shown in example 3.16b, in which the cadential progression represents the final stage in the harmonic acceleration. (See also ex. 3.13, mm. 11–13.)<sup>54</sup>

**EXAMPLE 3.3:** The second phrase of the theme stretches to six measures, and the two “extra” measures are created by an extension of the continuation (m. 7) and an expansion of the cadence (mm. 8–9, representing a single measure). Measures 5 and 6 of the continuation, featuring fragmentation into one-measure units, are regular enough. According to the model form, measure 7 would then bring a cadential progression ending on the downbeat of measure 8; indeed, Mozart could easily have written a “galant” cadence formula, as shown in example 3.3b. Instead, the composer

## EXAMPLE 3.17 Haydn, String Quartet in B-flat, Op. 50/1, ii, 1-6

Adagio non lento dolce

presentation b.i. continuation frag. cad.

*p* *stacc.* *sfz* *sfz* *sfz*

E♭: I V<sup>4</sup>/<sub>3</sub> 6<sup>5</sup> I 6 (V<sup>4</sup>/<sub>2</sub>) I<sup>6</sup> (V<sup>5</sup>/<sub>5</sub>) I II<sup>6</sup> V<sup>6</sup> V HC

allows the melody to hold itself insistently on the fifth scale-degree (ex. 3.3a, m. 7), giving the impression of even more fragmentation (into one-beat units). At the same time, the cadential function is delayed by means of further tonic prolongation (m. 7 to the down-beat of m. 8). The pent-up energy created by frustrating expectations of melodic and harmonic closure is finally released in a flurry of sixteenth notes (mm. 8-10). This three-measure cadential unit brings a melodic descent (somewhat disguised by register transfer and passing notes; see circled notes) over a cadential progression expanded by means of rhythmic augmentation.

*Compression of the continuation phrase.*

EXAMPLE 3.17: The continuation phrase is reduced in scope to just two measures. Yet we can still recognize the basic functional components of the phrase: measure 5 brings both the fragmentation (into half-measure units) and the harmonic acceleration typical of continuation function, and measure 6 contains the half-cadence formula to close the theme.<sup>55</sup>

# Period

The most common tight-knit theme-type in instrumental music of the classical style is the eight-measure *period*. The period is divided into two, four-measure phrases fulfilling *antecedent* and *consequent functions*, respectively. The *antecedent phrase* begins with a two-measure basic idea, which is followed by a two-measure contrasting idea leading to a weak cadence. The *consequent phrase* repeats the antecedent but alters the contrasting idea in order to create a stronger cadence to close the theme.<sup>1</sup>

Essential to the concept of the period is the idea that a musical unit of partial cadential closure is repeated so as to produce a stronger cadential closure. As a result, the two units group tightly together to form a higher-level whole, a relatively complete structure in itself. The formal and aesthetic effect of antecedent–consequent repetition thus differs significantly from the repetition found within the presentation phrase of a sentence. There, a repeated open-ended unit (a basic idea) yields an unclosed structure that generates powerful tendencies for continuation.

The general principle of periodic formation just described can operate at a variety of levels within a musical work. For example, the two parts of the small binary form can sometimes result in a kind of antecedent–consequent relationship. A similar situation can obtain between the two parts of the full-movement sonata without development form. In this book, however, I limit the concept of period to two tight-knit theme-types—the eight-measure period (treated here) and the sixteen-measure period (treated in chap. 5).

## ANTECEDENT PHRASE

The antecedent phrase of an eight-measure period begins with a two-measure basic idea. All the characteristics of a basic idea discussed in connection with the presentation of a sentence also apply to the antecedent of a period. By itself, a given basic idea does not indicate whether it will open a sentence or a period.<sup>2</sup> Which form results from a given basic idea depends largely on the following two bars of music. In a sentence, the basic idea is immediately repeated,

but in a period, the basic idea is juxtaposed with a contrasting idea, one that brings a weak cadence.

**Contrasting idea.** The *contrasting idea* of an antecedent achieves its “contrast” with the basic idea most obviously by means of melodic–motivic content. In the clearest cases, the contrasting idea introduces motives distinctly different from those of the basic idea.

A contrast between the two ideas of an antecedent phrase may also be achieved, or at least supported, by secondary features such as texture, dynamics, and articulation.

EXAMPLE 4.1: The arpeggiated ascent projected by the basic idea is complemented by the scalar descent of the contrasting idea. (The final upward leap of a third at the end of each idea, however, projects a slight sense of repetition rather than contrast.)

EXAMPLE 4.2: The motivic content of the contrasting idea is entirely different with respect to durational values, harmonic pacing, and overall melodic contour compared with that of the basic idea. Unlike the preceding example, the antecedent phrase here ends with the less common imperfect authentic cadence.

EXAMPLE 4.3: The basic idea is soft and legato. The very start of the contrasting idea at measure 3 brings a sudden change to a forte dynamic and staccato articulation.

More significantly, however, the basic idea and contrasting idea differ with respect to their fundamental harmonic organization. The basic idea is usually supported by a tonic prolongational progression, and the contrasting idea must close with a cadential progression. In cases in which the contrasting idea seems to resemble the basic idea because of shared motives, the different underlying harmonies distinguish one idea from the other.

EXAMPLE 4.4: The basic idea opens with a one-measure rhythmic motive, one that Mozart used to start a number of his piano concertos.<sup>3</sup> The beginning of the next idea at measure 3 brings back this same motive, which might lead the listener to suspect that the basic idea is being repeated in the manner of a presentation phrase. But the motive is supported by a completely different harmonic

EXAMPLE 4.1 Haydn, Piano Trio in C, Hob. XV:27, iii, 1–8

antecedent      basic idea      contrasting idea      consequent      b. i.      c. i.

Presto

C: I      V<sup>6</sup>      IV<sup>6</sup> I<sup>6</sup>      II<sup>6</sup>      (V<sup>6</sup>/<sub>5</sub>)      V      I...      II<sup>6</sup>      V      I

HC      PAC

EXAMPLE 4.2 Mozart, Piano Sonata in B-flat, K. 281/189f, i, 1–8

antecedent      b. i.      c. i.      consequent      b. i.      c. i. (new)

Allegro

Bb: I      (VII<sup>6</sup>)      I<sup>6</sup>      IV I      V<sup>7</sup> I      I...      II<sup>6</sup>      V(<sup>6</sup>/<sub>4</sub> 7)      I

IAC      PAC

EXAMPLE 4.3 Mozart, Piano Sonata in D, K. 311/284c, ii, 1–8

antecedent      b. i.      c. i.      consequent      b. i.      c. i.

Andante con espressione

G: I      V<sup>6</sup>/<sub>5</sub>      I      IV<sup>6</sup>      I<sup>6</sup>      V<sup>6</sup>/<sub>5</sub>      I      V      I...      IV<sup>6</sup>      V(<sup>6</sup>/<sub>4</sub> 5)      I

HC      PAC

EXAMPLE 4.4 Mozart, Piano Concerto in F, K. 459, i, 1–8

antecedent      b. i.      c. i.      consequent      b. i.      c. i.

Allegro

F: I      V<sup>6</sup>/<sub>5</sub>      I      VI(V<sup>6</sup>/<sub>4</sub>)      V      I...      II<sup>6</sup>      V      I

HC      PAC

EXAMPLE 4.5 Haydn, Symphony No. 100 in G ("Military"), iv, 1–8

antecedent      b. i.      c. i.      consequent      b. i.      c. i.

Presto

G: I      V<sup>7</sup>      I      V<sup>6</sup>/<sub>5</sub>      II      V(<sup>6</sup>/<sub>4</sub> 5)      I      V<sup>7</sup>      I      VI II<sup>6</sup>      V      I

HC      PAC



progression, one that brings a half cadence to end the contrasting idea of an antecedent phrase. The return of the motive again at measure 5, now supported by its original harmonization, signals the true restatement of the basic idea, which functions to initiate the consequent phrase.

A contrasting idea often contains characteristics of continuation function, such as fragmentation, an accelerated harmonic or surface rhythm (or both), and even a hint of sequential harmonies.

**EXAMPLE 4.5:** The two-measure contrasting idea (mm. 3–4) displays most of the characteristics of a full four-measure continuation phrase—fragmentation (into half-measure units), marked harmonic acceleration, a stepwise ascending sequence, and a concluding half-cadential progression.

The notion of the contrasting idea as continuational becomes even more apparent when the basic idea itself is composed of a one-measure motive that is immediately repeated, in the manner of a “small presentation.” The entire antecedent then resembles the sentence theme-type. It is more useful for a comprehensive theory of form, however, if we distinguish between a *sentence-like* (or *sentential*) structure and a genuine sentence, the latter being a specific tight-knit theme with the characteristics described in the previous chapter. In many cases throughout this book, we recognize the presence of sentential characteristics without wanting to say that the resulting structure is a sentence proper.

**EXAMPLE 4.6:** The entire antecedent phrase has a miniature sentential design. The basic idea itself contains a one-measure statement that is immediately repeated as a response, thus suggesting presentation function. The contrasting idea (mm. 3–4) features fragmentation, harmonic acceleration, and cadential closure, like a continuation. It would be inappropriate, however, to consider this four-measure unit a genuine sentence, since it does not contain sufficient musical content to make up a full eight-measure theme.<sup>4</sup>

**Weak cadential closure.** A basic idea followed by a contrasting idea does not in itself constitute an antecedent. Essential to this function is the presence of a weak cadence that effects partial closure of the phrase. When defining antecedent function, both the half cadence and the imperfect authentic cadence can be considered weak because each leaves unclosed some harmonic or melodic process. Of the two, the half cadence, with its combination of harmonic and melodic incompleteness, is decidedly weaker than the imperfect authentic cadence, which results in melodic incompleteness alone.<sup>5</sup> The vast majority of antecedent phrases end with a half cadence, no doubt to magnify the sense of cadential differentiation. The perfect authentic cadence cannot be used to close an antecedent phrase, since this strong cadence achieves complete harmonic and melodic closure.<sup>6</sup>

**“Stop” versus “end.”** The notion of cadence has often been associated with the “cessation of musical activity.” For many musicians, cadence refers to a *stop* in the rhythmical motion of the phrase. To be sure, cadences in the classical literature often occur at points where the surface rhythm comes to a temporary halt. But this is not invariably so: many cadences see the rhythmic motion continuing through to the next formal unit, and sometimes a melodic lead-in also helps maintain rhythmic continuity.

**EXAMPLE 4.7:** The end of the antecedent phrase is characterized by a sudden increase in activity, such that the flurry of eighth-note runs carries this momentum on through the half cadence (downbeat of m. 7) to the beginning of the consequent at measure 9. The phrase thus “ends” with a half cadence, but the rhythmic motion does not “stop” with that cadence.<sup>7</sup>

Although a rhythmic stop may be associated with a given cadence, a cessation of activity is not essential to the concept of cadence. Moreover, rhythmic motion can come to a halt at places that are clearly noncadential.

**EXAMPLE 4.3:** The only place where the musical motion completely stops is in the middle of measure 3, a moment that does not project any sense of cadence. On the contrary, this point is the most unstable moment in the phrase.

If cadence does not necessarily entail a stopping of rhythmic activity, it nonetheless does embody the notion of structural closure, the marking of a formal *end*. A rhythmic stop and a formal end are entirely different musical phenomena: although they often operate together, they are conceptually (and perceptually) distinct.<sup>8</sup>

**Nonelision of antecedent with consequent.** When measure 4 of the antecedent phrase maintains rhythmic continuity all the way until measure 5, we might be tempted to say that rather than ending with a half cadence, the antecedent closes with an authentic cadence, one that *elides* with the beginning of the consequent; that is, measure 5 would be seen to function as both the last measure of the antecedent and the first measure of the consequent.<sup>9</sup> Such an interpretation, however, usually proves to be faulty. In most cases, there are specific harmonic reasons that the beginning of measure 5 cannot be considered a cadence. More important, however, the sense of a formal “goal” in an antecedent almost always precedes the sense of a new beginning for the consequent. It seems that the perception of repeating a unit of weak closure with one of stronger closure is obscured if the boundaries between the units are not clear. An examination of the classical repertory reveals that an antecedent phrase rarely, if ever, elides with a consequent phrase.<sup>10</sup>

EXAMPLE 4.6 Mozart, Piano Sonata in A, K. 331/300i, i, 1–8

Andante grazioso

antecedent consequent

b.i. c.i. b.i. c.i.

1 2 3 4 5 6 7 8

*p* *p* *f* *p*

A: I V<sup>6</sup><sub>5</sub> (m<sup>7</sup>)<sub>n</sub> V<sup>6</sup> I II<sup>6</sup> V(4 5/3) I... II<sup>6</sup> V(4 5/3) I

HC PAC

EXAMPLE 4.7 Haydn, Piano Trio in E-flat, Hob. XV:30, iii, 1–16

antecedent

b.i.

c.i.

consequent

b.i.

R=2N

Presto

3/4

Eb: I

IV (II<sup>6</sup> V<sup>6</sup>) V

HC

(no IAC)

c.i.

I (VI<sup>6</sup> II<sup>6</sup>)

Bb: (V)

V<sup>7</sup>

I

PAC

## EXAMPLE 4.8 Beethoven, Serenade for Violin, Viola, and Cello in D, Op. 8, iv, 23–30

antecedent consequent

b.i. (ton. ver.) c.i. b.i. (dom. ver.) c.i.

Allegro molto

*p* *f* *p* *sempre staccato* *f*

D: I II<sup>6</sup><sub>5</sub> (V<sup>6</sup><sub>5</sub>) { V A: (V) I V I II<sup>6</sup> V I PAC

(⇒D: HC)

## EXAMPLE 4.9 Mozart, Piano Sonata in D, K. 576, i, 1–8

antecedent consequent

b.i. c.i. b.i. (seq.) c.i.

Allegro

D: I — (V<sub>2</sub>) I<sup>6</sup> (V<sub>3</sub>) I II<sup>6</sup> V(<sub>4</sub><sup>6</sup> <sub>3</sub><sup>5</sup>) II — (VII<sup>6</sup>) II<sup>6</sup> V I

HC PAC

**EXAMPLE 4.7:** Because of the continuous rhythmic motion into the downbeat of measure 9, we might be tempted to hear an imperfect authentic cadence closing the antecedent at that point. But the bass note B $\flat$  in measure 7 is filled in with stepwise motion leading up to the E $\flat$  in measure 9, and the resulting change to the  $\frac{5}{4}$  position on the third beat of measure 8 undermines the potential for the dominant to function as the penultimate harmony of an authentic cadential progression. Instead, the dominant (in root position) on the downbeat of measure 7 must be construed as an ultimate dominant ending a half-cadential progression. Thus antecedent and consequent do not elide, despite the rhythmic continuity into the latter phrase.

## CONSEQUENT PHRASE

The consequent repeats and alters the antecedent so as to achieve greater closure by means of a stronger cadence. With few exceptions, a consequent ends with a perfect authentic cadence, thus fully completing the harmonic and melodic processes of the theme. If the antecedent has closed with a half cadence, the consequent may end with an imperfect authentic cadence, although this weaker form of closure rarely occurs.<sup>11</sup>

To create the impression of repeating the antecedent phrase, the consequent must begin with a restatement of the initial basic idea. The consequent then closes with a contrasting idea leading to the cadence. The contrasting idea of the consequent usually resembles that of the antecedent, although it can also be built out of entirely new melodic-motivic material (see ex. 4.2).

**Harmonic organization.** In most periods, the basic idea of the consequent is supported by the same harmony as in the antecedent—that is, most often by a firm root-position tonic prolongation. On occasion, the basic idea of the consequent is a dominant version, in relation to a tonic version of the antecedent. The overall harmonic design of the period thus takes on a statement-response character (ant.: I–V, cons.: V–I).

**EXAMPLE 4.8:** The basic idea of measures 1–2 clearly returns to begin the consequent phrase at measure 5. But the idea's new harmonic support creates a dominant version, compared with the tonic version at the beginning of the antecedent. Indeed, it would be possible to place measures 5–6 directly after measures 1–2 to make a standard presentation phrase featuring a statement-response repetition of the basic idea. (The unusual cadential close of the antecedent phrase is explained toward the end of this chapter.)<sup>12</sup>

A looser harmonic expression is created when the basic idea of the antecedent is restated sequentially in the consequent, usually by being transposed up a step into the super-tonic region.

**EXAMPLE 4.9:** The consequent phrase begins by sequencing the initial basic idea one step higher supported by II. This sequential restatement of the main theme's basic idea proves to have interesting consequences later in the movement for the subordinate theme of the exposition and that of the recapitulation, as discussed in connection with examples 8.1 and 11.12, respectively.<sup>13</sup>

The cadential progression of the consequent often begins earlier in the phrase than in the antecedent, especially if the latter ends with a half cadence (which is usually the case). Since the final harmonies of both phrases normally occupy analogous positions (e.g., downbeats of mm. 4 and 8), the penultimate dominant of the consequent must be shifted backward in relation to the ultimate dominant of the antecedent. In addition, the initial tonic or pre-dominant (or both) appears earlier in the consequent than in the antecedent. The contrasting idea of the consequent may even be supported entirely by the cadential progression and thus resemble the cadential idea closing a sentence.<sup>14</sup> As a result of these various alterations, the consequent phrase acquires a more powerful cadential expression relative to the antecedent, owing to not only the type of cadence but also the greater temporal weight accorded to the cadential progression.

**EXAMPLE 4.4:** The cadential progression of the antecedent begins with the VI chord (functioning as a pre-dominant II/V) in the second half of measure 3. In the consequent, the pre-dominant II<sup>6</sup> is shifted back to the beginning of measure 7 to accommodate the penultimate dominant in the second half of that measure. The contrasting idea of the consequent is thus supported entirely by an authentic cadential progression. (See also exs. 4.6 and 4.9.)

**Modulating consequent, cadential strength.** Most periods conclude in the key in which they begin. Often, however, the consequent phrase modulates, and the theme closes with a perfect authentic cadence in a related tonality. Like the modulating sentence, the modulating period rarely stands alone as an independent theme but, rather, constitutes the first part of a larger thematic unit, such as a small ternary or small binary (see ahead ex. 6.11). In such cases, it might be asked how a subordinate-key cadence closing the consequent phrase can be considered stronger than a home-key cadence closing the antecedent phrase.

We can answer the question by distinguishing between two types of pitch closure in a composition: one type involves the degree of *harmonic-melodic* closure achieved within a key (or several keys), and the other type, operating at a higher structural level, involves the degree of *tonal* closure exhibited by a succession of keys in relation to the home key. The relative strength of cadences is established on the basis of the first type of closure. When the antecedent phrase ends with a weak cadence, we perceive that a harmonic or melodic process in the home key remains somewhat open. But when the consequent phrase modulates and

EXAMPLE 4.10 (a) Haydn, String Quartet in G, Op. 54/1, iii, 1–10; (b) rewritten version of mm. 1–10

Allegretto

a)

antecedent b.i. c.i. (ext.) consequent b.i. c.i. (exp.)

1 2 3 4 5 6 7 8 9 10

*f* *sf* *f* *tr*

G: I ped. (V<sup>7</sup>) I V I ped. (V<sup>7</sup>/VI) I 6 II<sup>6</sup>  $\frac{5}{3}$  V<sup>7</sup> I

HC PAC

b)

antecedent consequent

b.i. c.i. b.i. c.i.

1 2 3 4 5 6 7 8

*f* *sf* *f*

G: I ped. (V<sup>7</sup>) I V I ped. (V<sup>7</sup>/VI) I II<sup>6</sup> V<sup>7</sup> I

HC PAC

EXAMPLE 4.11 (a) Mozart, Piano Concerto in F, K. 459, ii, 1–10; (b) rewritten version of mm. 1–10

Andante

a)

antecedent interp. c.i. (lead-in) consequent interp. c.i.

b.i. b.i. b.i. b.i. b.i.

1 2 3 4 5 6 7 8 9 10

*p* *cresc.* *p* *f* *p* *cresc.* *p* *f*

C: I (V) I IV<sup>6</sup> (V $\frac{5}{3}$ ) V I... IV<sup>6</sup> (V $\frac{5}{3}$ ) V<sup>7</sup> I

HC PAC

b)

antecedent consequent

b.i. c.i. (lead-in) b.i. c.i.

1 2 3 4 5 6 7 8

*p* *cresc.* *f* *p* *cresc.*

C: I (V) I IV<sup>6</sup> (V $\frac{5}{3}$ ) V I... IV<sup>6</sup> (V $\frac{5}{3}$ ) V<sup>7</sup> I

HC PAC

establishes a subordinate key by means of a perfect authentic cadence, we perceive that full harmonic–melodic closure *in that new key* has been achieved. In relation to the openness of the antecedent, the fuller closure of the consequent is achieved by a stronger cadence.

As regards the tonal organization of a modulating period, the consequent phrase is more open than the antecedent, since the latter resides in a subordinate key. This tonal instability has important consequences for the rest of the composition, for the music must eventually return to the home key (either shortly thereafter or later in the movement) to achieve tonal closure. Such considerations of tonality, however, have no direct bearing on the strength of cadences, whose degrees of closure relate to harmonic–melodic processes within the various keys of the composition.

Unlike the consequent, which is free to modulate to a related tonal region, an antecedent phrase always closes in the same key in which it begins. (One major exception to this rule will be discussed shortly.) If the antecedent phrase were to modulate (and the consequent to remain entirely in the subordinate key), then the home key, expressed only by the tonic prolongation supporting the initial basic idea, could not compete in prominence with the subordinate key. Thus for the period to attain sufficient tonal stability, it must first confirm its opening key with a cadence (albeit a weak one) before modulating and confirming a new key (with a stronger cadence).

## DEVIATIONS FROM THE NORM

Deviations from the model period form occur frequently throughout the classical repertory. Many of these periods employ the same techniques of extension, expansion, and compression discussed earlier in regard to the sentence form. In the case of the period, however, it is useful to distinguish further whether a deviation yields a symmetrical or an asymmetrical grouping structure, for quite different aesthetic effects obtain thereby. In addition to these phrase-structural alterations, deviant periodic forms can arise because of irregular cadential formations.

### Symmetrical Deviations

Like the sentence, the period is divided into two, four-measure phrases. But even more than the sentence, the 4 + 4 grouping structure of the period suggests a symmetrical organization, since the consequent phrase repeats the antecedent rather than bringing something essentially new (as does the continuation phrase of the sentence). For this reason, alterations to the normative phrase lengths of the period frequently take place in a way that maintains this sense of equilibrium between the phrases. As a general rule, if the antecedent is altered from its four-measure

norm, then the consequent will be changed to restore the sense of symmetry.<sup>15</sup>

**EXAMPLE 4.10:** The ten measures of this period exhibit a symmetrical 5 + 5 grouping structure. A reconstructed normative version (ex. 4.10b) reveals that the theme has undergone two alterations. First, the half cadence ending the antecedent is extended by an extra measure of dominant harmony. Second, the contrasting idea of the consequent is expanded by an additional measure, thus establishing a symmetrical grouping structure by matching the length of the antecedent. Moreover, this second change allows the descending eighth-note motive of the contrasting idea to maintain its original tonic support (mm. 3 and 8) and also permits the new cadential melody (mm. 9–10) to correspond rhythmically to that of the half-cadential extension (mm. 4–5). Despite the apparent symmetry in grouping structure (5 + 5), a certain asymmetrical quality is projected by the 4 + 6 pattern as defined by the cadence points.<sup>16</sup>

The preceding example illustrates well the difference between extension and expansion. On the one hand, the structural end of the antecedent's contrasting idea, as articulated by the half cadence, occurs in its normative place—the downbeat of measure 4. Thus the formal functions of antecedent, contrasting idea, and cadence are fully established by that point. Measure 5 merely stretches out these functions in time. On the other hand, the consequent's contrasting idea is not fully expressed until the cadence finally arrives at measure 10. The phrase is thus lengthened as a result of an internal expansion of its component members, which occurs in the course of establishing the formal functions.

The next example features a new type of phrase alteration—*interpolation*.<sup>17</sup> An interpolation can be defined as musical material that is inserted between two logically succeeding formal functions, yet seeming not to belong to either function. An interpolation is distinguished from an extension largely through the absence of a motivic connection between the interpolated material and its preceding function, so that this function does not appear to be stretched out in time. (An extension, on the contrary, usually has an intimate motivic connection with the material that it is extending.) An interpolation can easily be eliminated in order to restore a more normative grouping structure.

**EXAMPLE 4.11:** The antecedent phrase is expanded to five measures by an interpolated rising eighth-note idea entering in the second half of measure 2. (The consequent phrase is similarly expanded.) This brief figure seems entirely unrelated to its preceding basic idea, yet it also does not belong to the contrasting idea (despite some obvious motivic connections). Moreover, the interpolated figure does not give the impression of extending the basic idea, which is clearly over by the beginning of measure 2. Finally, both interpolations can easily be excised in order to create a normative eight-measure period (ex. 4.11b).

Closer examination reveals that the interpolated lines play a